

## NSF PROPOSAL ROUTE/REVIEW/SUBMISSION CHECKLIST

### Solicitation-specific instructions may supplement or deviate from these instructions.

Always read the solicitation carefully. See OSP website for additional guidance relating to [REU Supplement](#), [GOALI](#), and [CAREER](#).

This checklist is intended to be used primarily for “Research – Not EAGER or RAPID” proposal types.

The NSF PAPPG [Chapter II.E “Types of Proposals”](#) provides additional guidance related to: [RAPID](#), [EAGER](#), [RAISE](#), [GOALI](#), [Ideas Lab](#), [FASED](#), [Conference](#), [Equipment](#), [Travel](#), [Center](#), or [Research Infrastructure](#) type proposals.

If submitting through Grants.gov, see OSP web page: [“NSF Implementation of Grants.gov”](#).

### Official NSF Guidance effective for proposals with deadlines January 30, 2018 and later: [Proposal & Award Policies & Procedures Guide \(PAPPG\), 18-1](#)

**NEW WITH PAPPG 18-1:** Biggest changes to proposal preparation guidance are as follows:

1. Budget Justification has been revised to increase the number of pages allowed to no more than five pages per proposal. These changes apply to both proposers and subawardees.
2. Project Description must now contain a separate header “Intellectual Merit”.
3. Results from Prior NSF Support now applies to any awards PI or Co-PI has had with an *end date* in the past five years, including no-cost extensions.

**REQUIRED COMPONENTS** for Lead vs. Non-Lead organizations in simultaneously submitted Collaborative Research proposals (must be linked in FastLane )

Lead Organization	Non-Lead Organization(s)
<p><b>NSF REQUIRES</b>                      Cover Sheet                      Project Summary                      Table of Contents (automatically generated)                      Project Description                      References Cited                      Biographical Sketches                      Budget and Justification                      Current and Pending Support                      Facilities, Equipment and Other Resources                      Data Management Plan                      Collaborators &amp; Other Affiliations document(s)                      Postdoctoral Mentoring Plan (if applicable)                      Other Supplementary documents (if applicable)                      BIO directorate classification form (if applicable)                      DUE classification form (if applicable)</p>	<p><b>MIT REQUIRES:</b>  <u>All</u> MIT proposals must include a SOW. If MIT is non-lead, and Lead has not yet provided a full and complete project description, MIT PI <u>must</u> provide a description of MIT’s role in the project for internal review.</p> <p><b>NSF REQUIRES</b>                      Cover Sheet                      Table of Contents (automatically generated)                      Biographical Sketches                      Budget and Justification                      Current and Pending Support                      Facilities, Equipment and Other resources                      Collaborators &amp; Other Affiliations document(s)                      BIO directorate classification form (if applicable)                      DUE classification form (if applicable)</p>
<p>Dates and Deadlines  <a href="#">PAPPG I.F &amp; Exhibit III-1</a></p>	<p><input type="checkbox"/> If a NSF deadline date falls on a <a href="#">Federal Holiday</a> or weekend, the deadline is extended to the following business day.  <input type="checkbox"/> Requested start date should be at least 7 months after the deadline (See <a href="#">PAPPG Exh III-1</a>)</p>
<p>Letters of Intent/ Pre-proposals  <a href="#">PAPPG I.D</a>                      (Continues)</p>	<p><input type="checkbox"/> Letters of Intent do not need to be routed to OSP for approval unless specified in the solicitation that AOR approval is required. If AOR approval is required, route in KC as you would a preliminary proposal (below)  <input type="checkbox"/> Preliminary proposals must be routed to OSP</p>

(Continued)	<ul style="list-style-type: none"> <li>○ KC proposal type “Pre-proposal” for submission in FastLane</li> <li>○ PI certification is not required</li> <li>○ Subawardee/Collaborator certification letters not required</li> </ul>
System Validations: <a href="#">FastLane Auto-compliance</a>	<input type="checkbox"/> If in FastLane: has Sponsored Projects Office (SPO = OSP) Submit Access been allowed? <input type="checkbox"/> If in FastLane: did CHECK button reveal any errors or warnings? <i>Note: these functions are only available to PIs &amp; Co-PIs from the FastLane “Proposal Actions” screen. Other Authorized Users logged into a specific proposal using the temporary proposal number and a PIN cannot allow SPO access or “Check” for errors</i>
Personnel, Project Roles <a href="#">MIT COI Policy: NSF</a>	<input type="checkbox"/> <a href="#">MIT PI status</a> is required for PIs, Co-PIs, and all other Senior Personnel for NSF proposals <input type="checkbox"/> All <u>faculty</u> funded by a NSF proposal <u>must</u> be listed as either a PI/Co-PI, or as Senior Personnel <input type="checkbox"/> All PIs/Co-PIs/Senior Personnel must have completed KC Proposal certification/COI screening <ul style="list-style-type: none"> <li>○ set COI Discl. Req to include Key Persons if any are listed</li> </ul> <input type="checkbox"/> All PIs and Co-PIs must have a FastLane ID #s authorized for PI submission by MIT. <ul style="list-style-type: none"> <li>○ Contact <a href="mailto:NSF-help@mit.edu">NSF-help@mit.edu</a> if FastLane ID is needed or if pre-existing FastLane ID created at another institution should be authorized with MIT.</li> </ul>
Certifications & MIT Internal Attachment requirements:	<input type="checkbox"/> When a subaward is budgeted, MIT requires Institutionally Authorized subawardee assurances and certifications regarding NSF policy. This letter does not need to be submitted to the NSF unless specified in the solicitation. A template letter is available on the <a href="#">OSP website</a> . Upload as Other Institutional Attachments. <input type="checkbox"/> MIT requires a letter quoting any named consultant’s role, expertise, and established consultant rate. See <a href="#">OSP: Proposal Preparation Basics</a> <input type="checkbox"/> Be sure to enter correct <a href="#">Activity Type</a> in KC Proposal details.
Format of the Proposal <a href="#">PAPPG II.B</a>	<input type="checkbox"/> All attachments must be paginated (including supplementary documents) <input type="checkbox"/> Margins 1” in all directions, <input type="checkbox"/> See <a href="#">PAPPG II.B.2</a> for a list of acceptable typefaces and sizes (see footnote if using a Mac)
Locations	<input type="checkbox"/> Enter any subawardee or other performance sites in KC under Proposal > Basics > Organization and Location. If Organization does not already exist in KC, request it be added at <a href="#">KC: Request New Subawardee Organization</a> <input type="checkbox"/> For FastLane, add Other organizations (subawards) in the Budget section only.
PI/Co-PI Info	<input type="checkbox"/> In FastLane, this feeds from PI information associated with each PI/Co-PI’s FastLane ID#. Does not print as part of the proposal.
Cover Sheet <a href="#">PAPPG Chapter II.C.2.a.</a>	<input type="checkbox"/> Program Announcement/Solicitation completed in FastLane & KC <input type="checkbox"/> For consideration by NSF Organization Unit(s) – see <a href="#">PAPPG ChII.C.2.a(3)</a> <input type="checkbox"/> FastLane Cover: Complete checkboxes and info regarding: <ul style="list-style-type: none"> <li>○ Previous award number if a renewal</li> <li>○ Other Federal agency(s) applying to</li> <li>○ Is this a Preliminary Proposal?</li> <li>○ Has MIT received a Special Deadline Exception (<a href="#">PAPPG Ch. I.F</a>)</li> </ul> <input type="checkbox"/> Title Prefix: (e.g. “ <a href="#">Collaborative Research</a> ”, “ <a href="#">GOALI</a> ”, or per solicitation.) <input type="checkbox"/> Review the PI/Co-PI’s certification answers for consistency with the Project Description. Especially watch for items requiring Compliance (aka “Special reviews”) for KC tab and NSF cover page <ul style="list-style-type: none"> <li>○ Human subjects: Enter “pending”. FWA # is 00004881</li> <li>○ Animals: Enter “pending” Enter Assurance# D-16-00078</li> <li>○ <a href="#">International Activities</a> or <u>any budgeted international travel</u> (including conferences) <ul style="list-style-type: none"> <li>▪ Up to five (5) countries may be selected.</li> <li>▪ If international destination unknown, enter Worldwide (displays as “XX”)</li> </ul> </li> </ul> <input type="checkbox"/> Select Funding Mechanism <input type="checkbox"/> Select Collaborative Status ( <a href="#">II.D.3</a> ) <ul style="list-style-type: none"> <li>○ Note: Unfunded, parallel funded international, or MIT-internal collaborations should be marked “not a collaborative proposal.”</li> </ul>
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Project Summary <a href="#">PAPPG Chapter II.C.2.b.</a>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Must be written in third person; one page maximum</li> <li><input type="checkbox"/> For FastLane: Three text boxes must be completed (do not copy-paste formatted text) <ul style="list-style-type: none"> <li>○ Overview</li> <li>○ Intellectual Merit</li> <li>○ Broader Impacts</li> </ul> </li> <li><input type="checkbox"/> The Special Characters checkbox and uploaded summary should <u>only</u> be used when Special Characters are required. (<a href="#">additional detail</a>)</li> <li><input type="checkbox"/> All three headings must be used in an uploaded summary.</li> </ul>
Project Description <a href="#">PAPPG Chapter II.C.2.d.</a>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Usually 15 Page Max – URLs must not be used (<a href="#">ii</a>)</li> <li><b>Required Sections</b> <ul style="list-style-type: none"> <li>A) separate section labeled “Broader Impacts” is required</li> <li>B) separate section labeled “Intellectual Merit” is required</li> <li>C) separate section labeled “Results from Prior NSF Support” is required (<a href="#">iii</a>) for all PI’s and Co PI’s who have received NSF support with an enddate in the past 5 years including active awards: includes conference, travel, and NSF fellowship awards. Up to 5 pages is allowed for all PIs combined. The following information is required for <u>each</u> PI’s most relevant award. <ul style="list-style-type: none"> <li>○ Award number (including program prefix), amount, and period of support, the title of the project</li> <li>○ Summary of the results, separated into two distinct subheadings “Intellectual Merit” and “Broader Impacts”</li> <li>○ List of publications (include full citations or refer to References Cited) If none, state “No publications were produced under this award”</li> <li>○ Evidence of other research products and their availability, as described in the Data Management Plan of the prior award</li> <li>○ If proposal is for renewed support, describe relationship to current project and include information on human-resources development per <a href="#">PAPPG Ch. V</a></li> <li>○ If recently awarded and no results exist, describe major goals of project</li> </ul> </li> </ul> </li> <li><input type="checkbox"/> Check this section for references to human subjects, animals, collaborations, etc. that may need to be addressed in other sections.</li> <li><input type="checkbox"/> Other requirements apply to <a href="#">special proposal types</a>, see list at top of page 1</li> <li><input type="checkbox"/> Other Criteria may be listed in solicitation &amp; may impact NSF funding decision</li> <li><input type="checkbox"/> Full proposal resulting from preliminary proposal to reference preliminary proposal #.</li> </ul>
References Cited <a href="#">PAPPG Chapter II.C.2.e.</a>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>REQUIRED for all proposals:</b> if N/A, upload a document stating N/A</li> <li><input type="checkbox"/> Each reference must include the names of <i>all</i> authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication -- “et al” not allowed.</li> <li><input type="checkbox"/> If the document is available electronically, the website address (URL) should be identified (if readily available)</li> </ul>
Biographical Sketch <a href="#">PAPPG Chapter II.C.2.f.</a>  (Continues)	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Required to be separately uploaded for all named senior personnel (<a href="#">i</a>)</b></li> <li><input type="checkbox"/> 2 Page Limit – usually (check solicitation)</li> <li><input type="checkbox"/> <b>No</b> personal info: marital status, citizenship, home address/phone/email</li> <li><input type="checkbox"/> The following sections are required. <b>Inclusion of information beyond that specified may result in return without review.</b> <ul style="list-style-type: none"> <li>A. Professional Preparation (oldest to newest, include Institution(s), location, major/area, and year for undergrad thru postdoc)</li> <li>B. Appointments (newest to oldest, starting with current)</li> <li>C. Products (includes publications, data sets, software, patents, or copyrights – not unpublished papers or invited lectures)</li> </ul> </li> </ul>



<p>(Continued) Budget (Including Justification) <a href="#">PAPPG Chapter II.C.2.g.</a></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Need to define and apply the term “year”. Example-MIT’s Fiscal Year goes from July 1 to June 30.</li> </ul> <p><b>Travel</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Domestic and foreign travel costs should be justified separately. Trips must be specified by destination and cost. Include dates of visit if known (<a href="#">iv</a>) (<a href="#">a,b,c</a>)</li> <li><input type="checkbox"/> Conference attendance costs are only allowable if justified in terms of proposal objectives and/or dissemination of results.</li> </ul> <p><b>Participant Support (<a href="#">v</a>)</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">Participant support</a> should be separately justified and described adequately in the justification to determine allowability. Number of participants to be supported must be entered.</li> <li><input type="checkbox"/> Usually only allowed in “Conference Grants” or for educational/training.</li> <li><input type="checkbox"/> Stipends should not be paid as payroll expenses: contact OSP for details</li> <li><input type="checkbox"/> No direct support for MIT employees, including students, is allowed; MIT persons may participate in provided conference meals and coffee breaks</li> <li><input type="checkbox"/> Participant support costs are exempt from indirect cost</li> </ul> <p><b>Indirect Cost</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> For non-research proposals, include this statement in place of the standard F&amp;A justification: <ul style="list-style-type: none"> <li>○ “This proposal supports non-research related activities at MIT. MIT does not have a federally negotiated indirect cost rate for non-research sponsored activities; therefore, indirect costs are requested at a <i>de minimis</i> rate of 10% MTDC per 2 CFR 200.”</li> <li>○ Need to list the amount of total indirect costs, along with the current negotiated indirect cost rate(s) applicable per year.</li> </ul> </li> </ul> <p><b>RELATED VALIDATIONS</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> If Postdoctoral researchers are budgeted, a mentoring plan is required</li> <li><input type="checkbox"/> If Foreign travel is budgeted, the International Activities field on the NSF cover page should indicate the relevant countries. If international destinations are TBD, select “Worldwide” on the cover sheet. (displays as “XX”)</li> </ul>
<p>Current &amp; Pending <a href="#">PAPPG Chapter II.C.2.h.</a></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Required to be separately uploaded for all named senior personnel</b></li> <li><input type="checkbox"/> All support dedicated to a particular project, regardless whether the source is internal or external to MIT, must be listed.</li> <li><input type="checkbox"/> Include at minimum for each award/proposal: Title, Dates, Total award amount, Sponsor, Budgeted Person-months of support <i>NOTE: Only <u>budgeted</u> support should be listed. List 0 months for any award on which there is no budget commitment!</i></li> <li><input type="checkbox"/> Be sure “<b>THIS</b>” proposal is included, with the correct budget amount</li> <li><input type="checkbox"/> Proposed and active NSF support should not exceed 2 months without additional justification. NSF policy limits senior personnel to 2 months support.</li> <li><input type="checkbox"/> Total active support may not exceed 100% (for example, more than 3 months summer salary).</li> <li><input type="checkbox"/> If this project was previously supported by a source other than the NSF, this support must be listed for the most recent period of funding even if expired.</li> </ul>
<p>Facilities, Equipment, and Other Resources <a href="#">PAPPG Chapter II.C.2.i.</a></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Required for all proposals:</b> If N/A, upload a document stating N/A</li> <li><input type="checkbox"/> This section should include an aggregated description of the internal and external resources (both physical and personnel) that the organization and its collaborators will provide to the project, should it be funded.</li> <li><input type="checkbox"/> If any participating MIT employees are unbudgeted, list them in this section. Describe their role in the project. <ul style="list-style-type: none"> <li>○ For unbudgeted faculty, include the statement “MIT fully supports the academic year salary of Professors, Associate Professors and Assistant Professors, but makes no specific commitment of academic year time or salary to this particular research project”.</li> <li>○ For unbudgeted non-faculty staff, state that they are “supported by other sources” and provide MIT Internal documentation that these other sources do not represent a conflict of commitment.</li> </ul> </li> </ul>



(Continued)	<input type="checkbox"/> Any substantial collaboration with (non-employee) individuals not included in the budget should be described in the Facilities, Equipment and Other Resources, <i>and</i> documented in a letter of commitment from each collaborator in the Supplementary Documents.
Data Management Plan (see <a href="#">PAPPG Chapter II.C.2.j.</a> )	<input type="checkbox"/> <b>REQUIRED for all proposals:</b> Data management Plan (2 page limit) <ul style="list-style-type: none"> <li>○ Each <a href="#">NSF directorate</a> has different requirements for the Data Management Plan. Be sure to determine which directorate applies and consult <a href="#">DMP guidance by NSF Unit</a></li> <li>○ additional guidance is available at <a href="#">MIT Libraries: Data Management Plans</a> and <a href="https://dmptool.org/">https://dmptool.org/</a></li> <li>○ Where a plan is not needed, a page is still needed asserting the absence of the need for such plans.</li> </ul>
Postdoctoral Mentoring Plan (see <a href="#">PAPPG Chapter II.C.2.j.</a> )	<input type="checkbox"/> <b>REQUIRED if budgeted:</b> Postdoc mentoring plan (1 page limit) <ul style="list-style-type: none"> <li>○ required for any proposals requesting support for postdoctoral researchers, see <a href="#">PAPPG Chapter II.C.2.j.</a></li> </ul>
Project Summary with Special Characters (see <a href="#">PAPPG Chapter II.C.2.j.</a> )	<input type="checkbox"/> Project summary with Special Characters <ul style="list-style-type: none"> <li>○ In FastLane, only allowed as attachment when including special characters: the “Special character” checkbox must be checked to include this. (<a href="#">additional detail</a>)</li> </ul>
Other Supplementary Documents ( <a href="#">PAPPG Chapter II.C.2.j.</a> )	<input type="checkbox"/> <b>Other</b> supplementary documents types allowed: <ul style="list-style-type: none"> <li>○ Letters of Collaboration permitted, but should be limited to stating the intent to collaborate and should not contain endorsements or evaluation of the proposed project. Detail of collaboration should be documented elsewhere in the proposal. See <a href="#">OSP Website</a> for a recommended template for these letters.</li> <li>○ Letters of Support <i>allowed only when required</i> by the solicitation (see <a href="#">PAPPG Chapter II.C.2.j</a> for the difference between Letters of Support &amp; Collaboration)</li> <li>○ Letter quote from consultants if budgeted (<b>Note: Also required by MIT</b>)</li> <li>○ Rationale for performance of project off-campus</li> <li>○ Documentation regarding human subjects (<a href="#">Ch XI.B.1</a>), hazardous materials, vertebrate animals (<a href="#">Ch XI.B.3</a>), or endangered species.</li> <li>○ Exceptional qualifications of Other Personnel if relevant -- see (<a href="#">Ch II.C.2.f(ii)</a>)</li> <li>○ Any Solicitation-specific documents, such as department head or advisor letter, list of participants, etc. Be sure to review solicitation for any special requirements.</li> </ul>
Appendices ( <a href="#">PAPPG Chapter II.C.2.k.</a> )	<input type="checkbox"/> Do not include unless specifically authorized (See Solicitation requirements)
Collaborators & Other Affiliations Information: ( <a href="#">PAPPG Chapter II.C.1(e)</a> )	<input type="checkbox"/> <b>Collaborators &amp; Other Affiliations (COA) document required for all named senior personnel, separately uploaded in .xls or .xlsx format</b> <ul style="list-style-type: none"> <li>○ See the required COA template available at <a href="#">NSF Policy Website</a></li> <li>○ <a href="#">Also, see NSF’s “Frequently Asked Questions” (12/15/17) on the COA template</a></li> </ul>
Single Copy Documents (excluding COA) ( <a href="#">PAPPG Ch II.C.1</a> )	<input type="checkbox"/> <a href="#">Deviation Authorization</a> , Do not include unless specifically instructed by NSF. <input type="checkbox"/> List of <a href="#">Suggested Reviewers/Reviewers not to include</a> , optional, include email and affiliation. Justification required for Reviewers to exclude <input type="checkbox"/> Additional Single Copy Documents: do not include unless specifically instructed by NSF or solicitation Nature of <a href="#">Natural or Anthropogenic Event</a> : Contact OSP to discuss if you plan to request deadline flexibility due to a natural or anthropogenic disaster.